

2813  
15.30/5630

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:  
TSUGANE et al.

Serial No. 09/759,915

Filed: January 13, 2001

For: SEMICONDUCTOR DEVICES AND  
METHODS FOR MANUFACTURING  
THE SAME

Group Art Unit: 2813

Examiner: Nguyen, Tuan H.

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

RECEIVED  
SEP 29 2003  
TC 2800 MAIL ROOM

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ The Notice of Reasons of Rejection for Japanese Patent Application 2000-005042 (from which priority is claimed for US 09/759,665) dated June 17, 2003 cites the following Japanese patent references: 09-260607, 11-340433, 09-116113, 10-083867 and 2000-196037. An English language abstract and computer generated translation (the accuracy of which is not certified) have been submitted for these references.

- B. ☒ The information disclosure statement submitted herewith is being filed
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
  - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
  - 3) before the mailing date of a first Office Action on the merits;
  - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114; or
  - 5) before the mailing date of a first Office Action after filing of a Continued Prosecution Application.
- C. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
  - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
  - 2) a fee of \$180 as set forth in 1.17(p).

**STATEMENT UNDER 1.97(e)**

I, the person signing below, certify

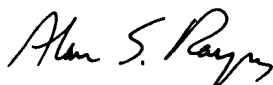
- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart

foreign application not more than three months prior to the filing of the statement.  
37 C.F.R. 1.97(e)(1).

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(2).

- **Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585.** A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,



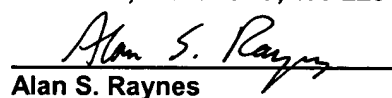
Alan S. Raynes  
Reg. No. 39,809

Sept. 23, 2003  
Date

Konrad Raynes Victor & Mann, LLP  
315 South Beverly Drive, Suite 210  
Beverly Hills, CA 90212  
(310) 556-7983 (general tele)  
(310) 871-8448 (direct tele)  
(310) 556-7984 (fax)  
**Customer No. 24033**

**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail on Sep. 23, 2003 and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Alan S. Raynes

Sep. 23, 2003  
(Date)

FORM PTO-1449 (revised) U.S. Department of Commerce  
IREV. 7.801 PATENT AND TRADEMARK OFFICE

Attorney Docket No.  
15.30/5630

Serial No.  
09/759,915

# INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)



Applicant:  
TSUGANE et al.

Filing Date  
1/13/01

Group  
2813

SEP 29 2003

RECEIVED

## U.S. PATENT and PATENT APPLICATION DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Sub-Class	Filing Date if Appropriate
	6 3 8 4 4 4 4	7May02	Sakoh			6Dec00
	6 0 4 0 5 9 6	21Mar00	Choi et al.			
	4 5 9 8 4 6 0	8Jul86	Owens et al.			
	6 4 0 4 0 0 1	11Jun02	Koo et al.			26Jan01 parent (6Aug99)
	5 4 2 0 4 4 9	30May95	Oji			
	2001 00 1 3 6 3 2	16Aug01	Richiuso			29Mar01 parent (9Nov99)

## FOREIGN PATENT DOCUMENTS

Document Number	Date	Country	Class	Sub-Class	Translation
					Yes No
09- 2 6 0 6 0 7	03Oct97	Japan			abst. + computer
11- 3 4 0 4 3 3	10Dec99	Japan			abst. + computer
09- 1 1 6 1 1 3	2May97	Japan			abst. + computer
10- 0 8 3 0 6 7	31Mar98	Japan			abst. + computer
2000- 1 9 6 0 3 7	14Jul00	Japan			abst. + computer

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005042 (priority for 09/759,665) dated June 17, 2003 (which lists 09-260607, 11-340433, 09-116113, 10-083867 and 2000-196037 cited above).

Examiner

Date Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.